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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/718,241	11/22/2000	Yu Wang	RD-27,500/USA	8371

7590 08/27/2002

General Electric Company  
CRD Patent Docket Rm 4A59  
Bldg. K-1-Salamone  
P.O. Box 8  
Schenectady, NY 12301

EXAMINER

PEREZ, GUILLERMO

ART UNIT	PAPER NUMBER
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2834

DATE MAILED: 08/27/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/718,241

**Applicant(s)**

WANG ET AL.

**Examiner**

Guillermo Perez

**Art Unit**

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**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 06 June 2002.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-14 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☒ The proposed drawing correction filed on 06 June 2002 is: a) ☒ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All   b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                   | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____. |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)          | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____. | 6) <input type="checkbox"/> Other: _____.                                   |

## DETAILED ACTION

### *Claim Rejections - 35 USC § 103*

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

1. Claims 1-5 are rejected under 35 U.S.C. 102(b) as anticipated by or, in the alternative, under 35 U.S.C. 103(a) as obvious over Tajima (U. S. Pat. 5,036,238).

Tajima discloses a rotor assembly comprising:

- a rotor forging including a rotor body (8) having pole faces (1);
- a winding module including a plurality of field windings (3) positioned adjacent the pole faces (1) and a winding insulator (7) disposed, respectively, between each pair of successive field windings (3), respectively; and
- a winding block (5) disposed in engagement with the winding module (3) and shaped to be shifted to a final position relative to the winding module (3) when the rotor assembly rotates at about its rated speed to thereby compress the winding module (3).

Tajima discloses that the winding block (5) comprises a tapered surface engaging the winding module (3).

Tajima discloses that the tapered surface friction coefficient is selected such that the winding block (5) is shifted to the final position relative to the winding module (3) when the rotor assembly rotates at about its rated speed.

Tajima discloses that the winding block (5) is formed of a flexible insulating material.

Tajima discloses that the winding block (5) is fixed in its position on the rotor assembly, and wherein the winding module (3) is displaced across the winding block (5) when the rotor assembly rotates at about its rated speed.

It would have been obvious at the time the invention was made to know that the spring in Tajima was capable of adjusting the position of the winding block under external forces like centrifugal forces, thermal expansion and materials aging.

Referring to claims 1, 3, 5, no patentable weight has been given to the method of manufacturing limitations (i. e. *"a winding block disposed engagement with the winding module shaped to be shifted to a final position relative to the winding module when the rotor assembly is rotated at about its rated speed thereby compressing the winding module."*) since "even though product-by-process claims are limited by and defined by the process, determination of patentability is based on the product itself. The patentability of a product does not depend on its method of production. If the product in the product-by-process claim is the same as or obvious from a product of the prior art, the claim is unpatentable even though the prior product was made by a different process." *In re Thorpe*, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985)

2. Claims 6-8, 11 are rejected under 35 U.S.C. 103(a) as being unpatentable over McCabria (U. S. Pat. 4,409,502).

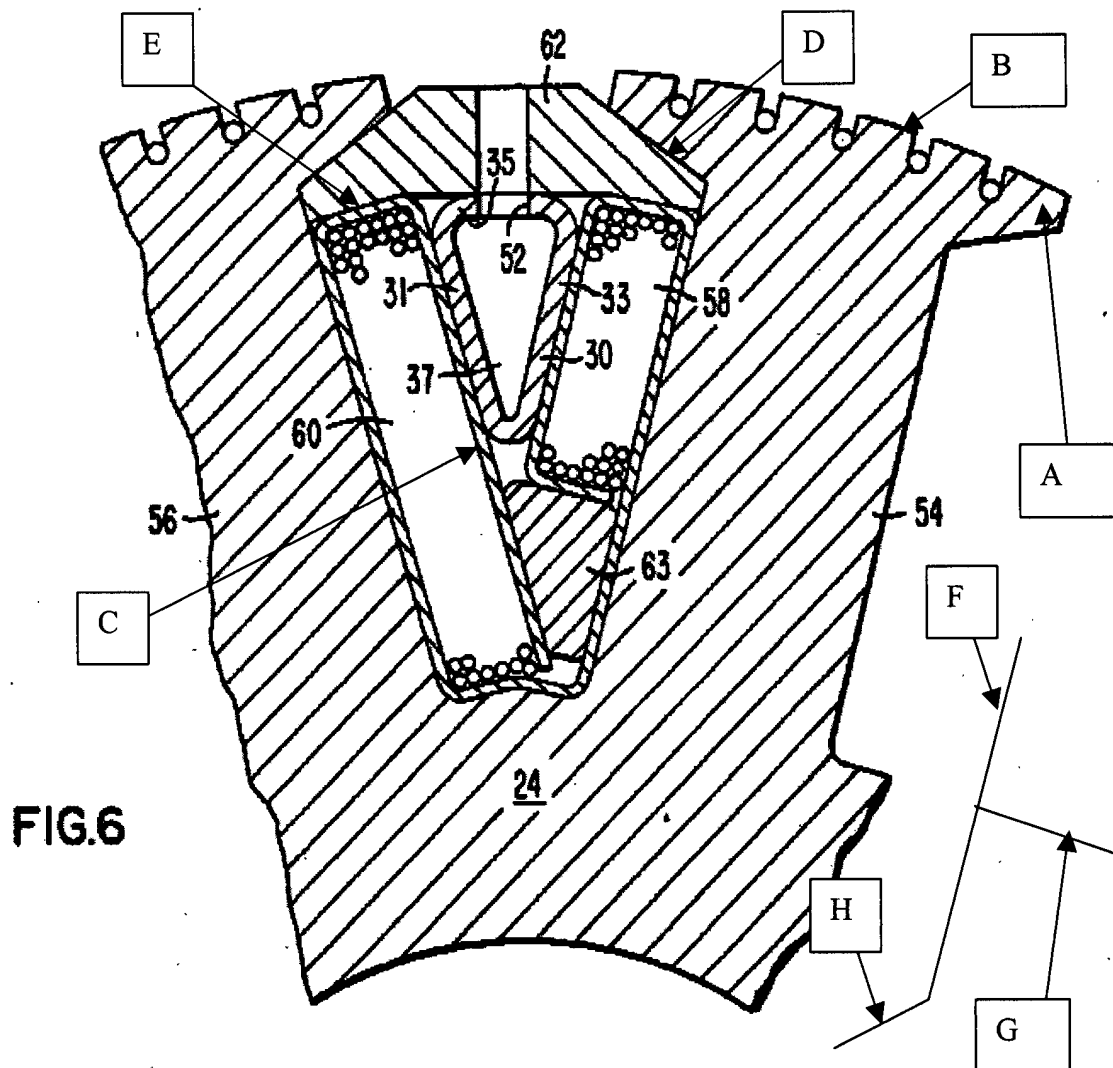
McCabria discloses a multi-pole electric machine rotor assembly comprising:

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a rotor forging including a rotor body (24) having poles (54,56) directed along a direct axis (F) with pole faces (B) extending generally perpendicularly to a direct axis (F), and fins (A) extending along a quadrature axis (G);

a winding module including a plurality of field windings (58,60) positioned in spaces between the pole faces (B) and the fins (A), and a winding insulator (C) disposed between each successive pair of the field windings (58,60), respectively; and

a winding block (62) disposed between the winding module (58,60) and a corresponding one of the fins (A) in each respective one of the spaces between the pole faces (B) and the fins (A).



McCabria discloses a multi-pole electric machine rotor assembly as described on item 1 above. McCabria discloses that the winding block (62) is detached from the fins (A) and the winding module (58,60). McCabria discloses that the winding block (62) comprises a support surface (D) engaging the corresponding one of the fins (A) and a tapered surface (E) engaging the winding module (58,60).

McCabria discloses that the winding block (62) comprises a support surface (D) engaging the corresponding one of the fins (A) and a tapered surface (E) engaging the winding module (58,60).

It would have been obvious at the time the invention was made to know that the winding block (62) was movably detached from its position since the winding block is an individual piece being pressed by centrifugal forces, which necessarily produce a displacement between of the block.

Referring to claim 6, no patentable weight has been given to the method of manufacturing limitations (i. e. *"the winding block being disposed in an initial engagement position with the winding module, the winding block being shaped to be shifted radially outward from the initial engagement position to a final position relative to the winding module when the rotor assembly is rotated at about its rated speed thereby compressing the winding module."*) since "even though product-by-process claims are limited by and defined by the process, determination of patentability is based on the product itself. The patentability of a product does not depend on its method of production. If the product in the product-by-process claim is the same as or obvious from a product of the prior art, the claim is unpatentable even though the prior product was made by a different process." *In re Thorpe*, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985)

3. Claims 9-10, 12-13 are rejected under 35 U.S.C. 103(a) as being unpatentable over McCabria in view of Tajima.

McCabria discloses a multi-pole electric machine rotor assembly as described on item 3 above. However, McCabria does not disclose that the tapered surface angle is selected such that the winding block is shifted to a final position when the rotor assembly rotates at about its rated speed. McCabria does not disclose that the tapered surface friction coefficient is selected such that the winding block is shifted to a final position when the rotor assembly rotates at about its rated speed.

Tajima discloses that the tapered surface angle is selected such that the winding block (5) is shifted to a final position when the rotor assembly rotates at about its rated speed. Tajima discloses that the tapered surface friction coefficient is selected such that the winding block (5) is shifted to a final position when the rotor assembly rotates at about its rated speed. Tajima's invention has the purpose of utilizing the restoring forces of the elastic members and thereby holding field coils without causing any great change in the holding forces thereof even against any type of a dimensional change.

It would have been obvious at the time the invention was made to modify the multi-pole electric machine rotor assembly of McCabria and provide it with the winding block configuration disclosed by Tajima for the purpose of utilizing the restoring forces of the elastic members and thereby holding field coils without causing any great change in the holding forces thereof even against any type of a dimensional change.

Referring to claims 9, 10, 12-13, no patentable weight has been given to the method of manufacturing limitations (i. e. "*the winding block is shifted to the final position when the rotor assembly rotates at about its rated speed.*") since "even though product-by-process claims are limited by and defined by the process, determination of



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patentability is based on the product itself. The patentability of a product does not depend on its method of production. If the product in the product-by-process claim is the same as or obvious from a product of the prior art, the claim is unpatentable even though the prior product was made by a different process." *In re Thorpe*, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985)

4. Claim 14 is rejected under 35 U.S.C. 103(a) as being unpatentable over McCabria in view of Kleemann (U. S. Pat. 5,015,904).

McCabria discloses a multi-pole electric machine rotor assembly as described on item 3 above. However, McCabria does not disclose that the winding block is formed of a flexible insulating material.

Kleemann discloses that the winding block (17) is formed of a flexible insulating material (column 2, lines 51-54). Kleemann's invention has the purpose of improving reliability and performance of the electric machine.

It would have been obvious at the time the invention was made to modify the multi-pole electric machine rotor assembly of McCabria and provide it with the winding block material disclosed by Kleemann for the purpose of improving reliability and performance of the electric machine.

### ***Response to Arguments***

Applicant's arguments filed June 6, 2002 have been fully considered but they are not persuasive.

In response to Applicant's remark that the references do not disclose the movement of the winding block to a final position, it must be noted that the end product

in the references is the same as the claimed end product. The fact that they are made by different processes of manufacturing does not make the claimed embodiments different from the prior art's embodiments.

***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Guillermo Perez whose telephone number is (703) 306-5443. The examiner can normally be reached on Monday through Thursday and alternate Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nestor Ramirez can be reached on (703) 308 1371. The fax phone numbers for the organization where this application or proceeding is assigned are (703)

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305 3432 for regular communications and (703) 305 3432 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308 0956.

Guillermo Perez  
August 24, 2002



NESTOR RAMIREZ  
SUPERVISORY PATENT EXAMINER  
TECHNICAL CENTER 2800